

Docket No. 297169US28PCT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Dieter S. GAUBATZ, et al.

SERIAL NO: 10/594,993

GAU: 1614

September 29, 2006

EXAMINER:

FOR:

COMPUTERIZED PROTECTION SYSTEM AND METHOD FOR AUTOMATICALLY IDENTIFYING AND/OR CHARACTERIZING RISK PARAMETERS



## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

## REFERENCES

- ☒ The applicant(s) wish to make of record the references cited in the attached International Search Report and listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## RELATED CASES

- ☐ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

## DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBOLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.  
James J. Kulbaski

Registration No. 34,648

Joseph Scafetta, Jr.  
Registration No. 26,803

Customer Number

22850

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)

Form PTO 1449 (Modified) JAN 24 2007 RECEIVED		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 297169US28PCT		SERIAL NO. 10/594,993	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Dieter S. GAUBATZ, et al.		FILING DATE September 29, 2006	
				GROUP 1614			
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	5,655,085	08/05/1997	Ronald D. RYAN, et al.			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AO	EP 0 955 595 A1	11/10/1999	EUROPE			
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	Nam Kyoo BOOTS, et al., "SIMULATING RUIN PROBABILITIES IN INSURANCE RISK PROCESSES WITH SUBEXPONENTIAL CLAIMS", Proceedings of the 2001 Winter Simulation Conference, XP-010573891, Vol. 1, 2001, Pages 468-476					
	AX	Nam Kyoo BOOTS, et al., "SIMULATING G/G/1 QUEUES AND INSURANCE RISK PROCESSES WITH SUBEXPONENTIAL DISTRIBUTIONS", Proceedings of the 2000 Winter Simulation Conference, XP-010529331, 2000, Pages 656-665					
	AY	Randall C. REID, et al., "Extending the Risk Analysis Model to Include Market-Insurance", Computers & Security, XP-004254272, Vol. 20, No. 4, 2001, Pages 331-339					
	AZ						<input type="checkbox"/> Additional References sheet(s) attached
Examiner					Date Considered		
/Michael Maicher/					09/30/2011		

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.